

COPY OF PAPERS  
ORIGINALLY FILED

FILING COMPLETION UNDER 37 CFR 52, 53, and/or 85

In re Application of: Dr. Stephen H. Foulger, Ph.D. et al.

Attention: Application Branch

Serial No.: 09/998,922

Date: February 12, 2001

Filing Date: November 30, 2001

Attorney Docket No.: CXU-343

Confirmation No.: 5372

Art Unit: 2873

Title: Chemical Compositions Comprising Crystalline  
Colloidal Arrays

Our Account No.: 22827

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, DC 20231

Sir:

The following completes the filing of the above-identified patent application under Rule 52, 53, and/or 85:

- ☒ Rule 53 signed Declaration enclosed.  
☐ This is a Rule 47 filing per attached Petition.  
☐ Enclosed: Original signed Declaration with attached specification (including claims) which is a copy of specification/claims originally filed to secure above filing date.  
☐ Specification originally filed in non-English language; hence verified translation attached of:  
☐ Abstract ☐ pages of Specification (only spec. & claims) ☐ Drawing Figs.  
☐ sheet(s) of formal drawings enclosed: size: ☐ A4 ☐ 14" ☐ 8½ by 11  
☒ Attached is an assignment to Clemson University.  
☐ Priority is hereby claimed under rule 55 and 35 U.S.C. 119 based on prior foreign application(s) no(s).  
\_\_\_\_\_, filed in \_\_\_\_\_ on \_\_\_\_\_, respectively.  
Certified copy (copies) ☐ attached; ☐ already filed on \_\_\_\_\_ in U.S. Application, Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

- ☒ "Small Entity" status under Rules 9 & 27 claimed. ☐ Attached: \_\_\_\_\_ Verified Statement(s) establishing "small entity."  
☐ Attached is the request return copy of the PTO Notice under Rule 52, 53, and/or 85.  
☐ Attached: \_\_\_\_\_  
☐ Preliminary Amendment: \_\_\_\_\_

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED  
PER MPEP § 506 AND § 607**

If not earlier paid, add Basic Filing Fee .....	\$ 740.00
Total Effective Claims <u>27</u> - 20 = <u>7</u> x \$18.00 =	\$ 126.00
Independent Claims <u>3</u> - 3 = <u>0</u> x \$84.00 =	\$ 0
If <u>any proper</u> multiple dependent claim (ignore improper) is present, add \$280.00	\$
Filing Fee	\$

Since PTO Notice under Rule 52, 53, and/or 85 set an original due date of \_\_\_\_\_,  
petition is hereby made for an extension to cover the date this response is filed for which the  
requisite fee is enclosed (1 month \$110; 2 months \$400; 3 months \$920; 4 months \$1440).

If this is the <u>first</u> time either signed Declaration filed or filing fee paid, add Surcharge (\$130)	\$ 130.00
Subtotal	\$ 996.00
If "small entity" status box above is X'd, enter half (1/2) of subtotal & subtract -	\$ 498.00
Total =	\$ 498.00

If "non-English" box above is X'd, add Rule 17(i) or (k) processing fee \$130.00) .....	\$
If "assignment" box is X'd, add recording fee (\$40.00). ....	\$ 40.00
If "Rule 47" box above is X'd, add Petition fee \$130.00 Rule 17(h). ....	\$

**TOTAL FEE ENCLOSED \$ 538.00**

The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

ADDRESS:

Post Office Box 1449  
Greenville, South Carolina 29602  
Phone: 864-271-1592  
Facsimile: 864-233-7342

DORITY & MANNING

ATTORNEYS AT LAW, P.A.

By Atty: John E. Vick, Jr. Reg. No. 33,808

Signature: [Signature]

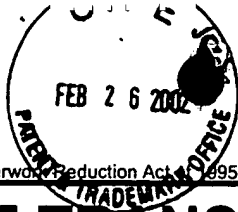
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, U.S. Patent and Trademark Office, Washington, DC 20231, on

February 12, 2002

Terry Ballew

(Typed or printed name of person mailing paper or fee)

[Signature]  
(Signature of person mailing paper or fee)



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PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 538.00

## Complete if Known

Application Number	09/998,922
Filing Date	11/30/2001
First Named Inventor	Dr. Stephen H. Foulger, Ph.D. et al.
Examiner Name	Not known
Group Art Unit	2873
Attorney Docket No.	CXU-343

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **04-1403**  
Deposit Account Name **Dority & Manning, Attorneys at Law, P.A.**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ ) 370.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
27	-20** = 7	X 9.00	= 63.00
3	-3** = 0	X	= 0.00
Multiple Dependent			= 0.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 63.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 105.00

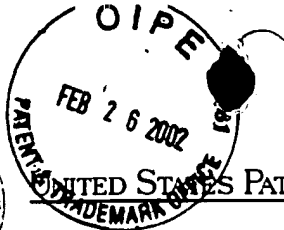
## SUBMITTED BY

Name (Print/Type)	John E. Vick, Jr.	Registration No. (Attorney/Agent)	33,808	Telephone	(864) 271-1592
Signature		Date	02/11/2002		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#3

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/998,922	11/30/2001	Stephen H. Foulger	CXU-343

CONFIRMATION NO. 5372

## FORMALITIES LETTER



\*OC00000007223845\*

John E. Vick, Jr.  
Dority & Manning  
Attorneys at Law, P.A.  
P.O. Box 1449  
Greenville, SC 29602

Date Mailed: 12/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$63.
  - \$63 for 7 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 498.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/04/2002 SSESHE1 00000028 09998922  
01 FC:201  
02 FC:203  
03 FC:205  
370.00  
63.00  
65.00